



15.39/5752

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                                |   |                            |
|--------------------------------|---|----------------------------|
| In re the Application of:      | ) | Group Art Unit: 2812       |
| MATSUMOTO et al.               | ) |                            |
| Serial No. 09/818,743          | ) | Examiner: Ghyka, George A. |
| Filed: March 27, 2001          | ) |                            |
| For: SEMICONDUCTOR DEVICES AND | ) |                            |
| METHODS FOR MANUFACTURING      | ) |                            |
| THE SAME                       | ) |                            |

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-086607 (from which priority is claimed in U.S. Serial No. 09/818,743), dated June 10, 2003, lists JP11-145134, JP11-317452, JP11-121458, JP06-005653 and JP2000-188333. English language abstracts and computer generated translations (the accuracy of which is not certified) have been submitted for all of these references. An English language abstract and computer generated translation (the accuracy of which is not certified) has been submitted for JP11-074352.

- B. ☒ It is believed that the information disclosure statement submitted herewith is being filed:
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

**STATEMENT UNDER 1.97(e)**

I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of the statement.  
37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



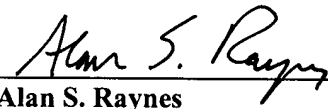
Alan S. Raynes  
Reg. No. 39,809

Sept. 17, 2003  
Date

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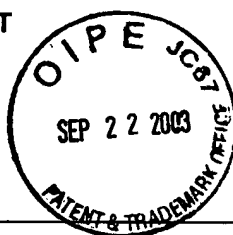
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 17, 2003.

  
Alan S. Raynes

September 17, 2003  
(Date)

FORM PTO-1449  
IREV. 7.801U.S. Department of Commerce  
PATENT AND TRADEMARK OFFICEAttorney Docket No.  
15.39/5752Serial No.  
09/818,743**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:  
MATSUMOTOFiling Date  
3/27/01Group  
2812**U.S. PATENT DOCUMENTS**

| Examiner Initial | Document Number | Date | Name | Class | Sub-Class | Filing Date if Appropriate |
|------------------|-----------------|------|------|-------|-----------|----------------------------|
|                  |                 |      |      |       |           |                            |

**FOREIGN PATENT DOCUMENTS**

|  | Document Number   | Date    | Country | Class | Sub-Class | Translation      |    |
|--|-------------------|---------|---------|-------|-----------|------------------|----|
|  |                   |         |         |       |           | Yes              | No |
|  | 11- 1 4 5 1 3 4   | 28May99 | Japan   |       |           | abst. + computer |    |
|  | 11- 3 1 7 4 5 2   | 16Nov99 | Japan   |       |           | abst. + computer |    |
|  | 11- 1 2 1 4 5 8   | 30Apr99 | Japan   |       |           | abst. + computer |    |
|  | 06- 0 0 5 6 5 3   | 14Jan94 | Japan   |       |           | abst. + computer |    |
|  | 2000- 1 8 8 3 3 3 | 4Jul00  | Japan   |       |           | abst. + computer |    |
|  | 11- 0 7 4 3 5 2   | 16Mar99 | Japan   |       |           | abst. + computer |    |
|  |                   |         |         |       |           |                  |    |

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |   |
|--|---|
|  | Notice of Reasons of Rejection for Japanese Patent Application No. 2000-086607 (from which priority is claimed in U.S. Serial No. 09/818,743), dated June 10, 2003, which lists JP11-145134, JP11-317452, JP11-121458, JP06-005653 and JP2000-188333. |
|  |   |

Examiner

Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.